

Heller Ehrman White & McAuliffe  
1666 K Street, N.W., Suite 300  
Washington, DC 20006

Date: June 18, 2003

Docket No. 37629-0070

The "Received" stamp of the U.S. Patent & Trademark Office herein acknowledges receipt of the following:

Applicants: Andreas PLÜCKTHUN et al.

Confirmation No. 8037

Serial No.: 10/019,596

Group Art Unit: Unassigned

Filed: December 26, 2001

For: HETERO-ASSOCIATING COILED-COIL PEPTIDES

- Fee Transmittal
- Transmittal Form
- Revocation and Appointment of New Attorney and Change of Address
- Statement Under 37 CFR 3.73(b)
- Assignment Cover Sheet (w/executed Assignment Document)
- Check #082301 in the amount of \$40.00

File in Mail Room

Date Due: N/A

Inspected by: *KC*

Return to: CGS/ndh



DOCKETED



**HellerEhrman**  
ATTORNEYS

1666 K Street, NW, Suite 300  
Washington, D.C. 20006-1228  
Main (202) 912-2000  
Fax (202) 912-2020

## Facsimile Transmittal

**RECEIVED**

JUL 31 2003

PCT SPECIAL

PROGRAMS OFFICE

Fax: 703-305-2919

**To:** Harry Kim, Patent & Trademark Office**Telephone:****From:** Pamela D. Hall**Telephone:** (202) 912-2189**Direct Fax:****No. of Pages:** 9 (including cover)**Date:** July 31, 2003

37629.0070 (6620)

**Message:** Attn: HARRY KIM:**Re: U.S. Serial No. 10/019,596 (PLUCKTHUN et al.); (Our Ref.: 37629-0070)**

Per our conversation Harry, here is the filing. Please let me know if you need anything else and thank you so much for your help in this matter. Pam

DC 92358 v1  
7/31/03 4:05 PM (37629.0070)

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Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2003

*Effective 01/01/2003. Patent fees are subject to annual revision.*

 Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$ 40.00)

Complete if Known	
Application Number	10/019,596
Filing Date	December 26, 2001
First Named Inventor	Andreas PLÜCKTHUN et al.
Examiner Name	Unassigned
Art Unit	Unassigned
Attorney Docket No.	37629-0070

**METHOD OF PAYMENT (check one)** Check     Credit card     Money Order     Other     None Deposit Account:Deposit Account Number **08-1641 (Docket No. 37629-0070)**Deposit Account Name **Heller Ehrman White & McAuliffe LLP**

The Commissioner is authorized to: (check all that apply)

- Charge fee(s) indicated below     Credit any overpayments
- Charge any additional fee(s) during the pendency of this application
- Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

**FEES CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051	130	2051	65
1052	50	2052	25
1053	130	1053	130
1812	2,520	1812	2,520
1804	920*	1804	920*
1805	1,840*	1805	1,840*
1251	110	2251	55
1252	410	2252	205
1253	930	2253	465
1254	1,450	2254	725
1255	1,970	2255	985
1401	320	2401	160
1402	320	2402	160
1403	280	2403	140
1451	1,510	1451	1,510
1452	110	2452	55
1453	1,300	2453	650
1501	1,300	2501	650
1502	470	2502	235
1503	630	2503	315
1460	130	1460	130
1807	50	1807	50
1806	180	1806	180
8021	40	8021	40
1809	750	2809	375
1810	750	2810	375
1801	750	2801	375
1802	900	1802	900
Other fee			
* Reduced by Basic Filing Fee Paid		SUBTOTAL (3) 40.00	

**FEES CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee	Fee Description	Fee Paid
1001	750	2001	375	Utility filing fee
1002	330	2002	165	Design filing fee
1003	520	2003	260	Plant filing fee
1004	750	2004	375	Reissue filing fee
1005	160	2005	80	Provisional filing fee

SUBTOTAL (1) (\$)

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
	-20** =	0	
Independent Claims	-3** =	0	

## Multiple Dependent

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Entity Fee	Fee Description
1202	18	2202	9
1201	84	2201	42
1203	280	2203	140
1204	84	2204	42
1205	18	2205	9

SUBTOTAL (2) (\$)

\*\* or number previously paid, if greater; For Reissues, see above

**SUBMITTED BY**

Name (Print/Type)	Signature	Registration No. (Name/Agent)	Date	Telephone	Complete if applicable
Colin G. Sapdercock		31,298	June 23, 2003	(202) 912-2000	Customer No. 26633

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and numbers on a separate sheet.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by law entitling the person to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete. Time estimates vary based on the complexity of the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. USE THE COMMERCIAL MAIL RECEIPT SYSTEM OR FEDERAL EXPRESS SERVICE TO SEND FORMS TO U.S. PATENT AND TRADEMARK OFFICE, 100 BRADLEY PLACE, WASHINGTON, DC 20231. 20053

PTO/SB/21 (08-00)

Please type a plus sign (+) Inside this box → 

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

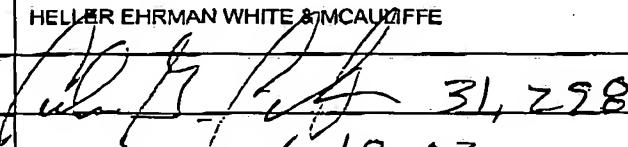
(To be used for all correspondence after initial filing)

		Application Number	10/019,596
		Filing Date	December 26, 2001
		First Named Inventor	Andreas PLUCKTHUN et al.
		Group Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages In This Submission		Attorney Docket Number	37629-0070

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers <i>(for an Application)</i> <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i> <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please identify below):</i> <b>Statement Under 37 CFR 3.73(b)</b>
Remarks		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	HELLER EHRMAN WHITE & MCAULIFFE
Signature	 31, 298
Date	6.18.03

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name	
Signature	
Date	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PATENT TRADEMARK OFFICE



26633

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 37629-0070

In re patent application of

Andreas PLÜCKTHUN et al.

Examiner: Unassigned

Serial No. 10/019,596

Group Art Unit: Unassigned

Filed: December 26, 2001

Confirmation Number: 8037

For: HETERO-ASSOCIATING COILED-COIL PEPTIDES

REVOCATION AND APPOINTMENT OF NEW ATTORNEY  
AND CHANGE OF ADDRESSCommissioner for Patents  
Washington, D.C. 20231

Sir:

Applicant revokes all previous powers of attorney and appoints Colin G. Sandercock Reg. No. 31,298 and the attorneys of HELLER EHRMAN WHITE & McAULIFFE LLP, 1666 K Street, N.W., Suite 300, Washington, D.C. 20006, to transact all business in the Patent and Trademark Office in connection with the above-captioned application. Please associate this application with Customer Number 26633. Please direct all written communications to Colin G. Sandercock at the above mentioned address, and direct all telephone communications to (202) 912-2000.

Respectfully submitted,

University of Zürich

By:

Prof. Borbély  
Vice President ResearchDated: 17-4-07

PTO/SB/68 (08-00)

Approved for use on 10/31/2002 OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Plückthun ANDREAS et al.

Application No./Patent No.: 10/019,596

Filed/Issue Date: December 26, 2001

Entitled: HETERO-ASSOCIATING COILED-COIL PEPTIDES

University of Zurich

University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_

To: \_\_\_\_\_

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3. From: \_\_\_\_\_

To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.**[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]**

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

13-4-8&gt;

Date

Signature

Prof. Borbény

Typed or printed name

Vice President Research

Title

Form PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)

## RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

## PATENTS ONLY

Tab settings → → →

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Andreas Plückthun  
Katja Arndt  
Kristian Müller  
Joëlle Pelletier

Additional name of conveying party(ies) attached?  Yes  No

## 3. Nature of conveyance:

- |  |   |
|--|---|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Merger         |
| <input type="checkbox"/> Security Agreement    | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Other _____           |   |

Execution Dates: 3/6/03; 3/14/03; 4/2/03

## 2. Name and address of receiving party(ies)

Name: University of Zürich

Internal \_\_\_\_\_

Street Address: Rämistr. 71

CH-8006 Zürich, Germany

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional Name(s) & address(es) attached?  Yes  No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

## A. Patent Application No.(s)

10/019,596

## B. Patent No.(s)

Additional numbers attached?  Yes  No

## 5. Name and address of party to whom correspondence concerning this document should be mailed:

Name: Colin G. Sandercock

Internal Address: Heller Ehrman White &amp; McAuliffe

Street Address: 1666 K Street, N.W.

Suite 300

City: Washington

State: D.C.

Zip: 20006

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) ..... \$ 40.00

 Enclosed Authorized to be charged to deposit account

## 8. Deposit account number:

08-1641

(Attach duplicate copy of this page if paying by deposit account)

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Colin G. Sandercock

Name of Person Signing

Signature

6.18.03

Date

PATENT &amp; TRADEMARK OFFICE

Total number of pages including cover sheet, attachments, and documents: 3



26633

Attorney Docket No.: 37629-0070

ASSIGNMENT AND AGREEMENT

WHEREAS, Andreas Plückthun, Katja Arndt, Kristian Müller, and Joelle Pelletier (hereinafter referred to singly and collectively as "ASSIGNOR") invented a certain invention entitled HETERO-ASSOCIATING COILED-COIL PEPTIDES for which an application for United States Letters Patent was filed on December 26, 2001 as Application No. 10/019,596; and

WHEREAS, University of Zürich, having its principal place of business at Rämistr. 71 CH-8006 Zürich (hereinafter referred to as "ASSIGNEE") is desirous of acquiring the entire interest therein;

NOW THEREFORE, in view of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto ASSIGNEE, its successors and assigns, the full and exclusive right, title, and interest in and to (a) the above-identified invention or inventions and all improvements and modifications thereof, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for the above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the International Convention and any other international agreement to which the United States adheres; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE, its successors and assigns, or their representatives or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

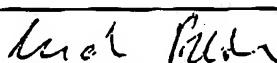
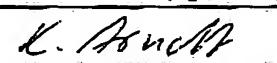
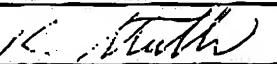
ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

Attorney Docket No.: 37629-0070

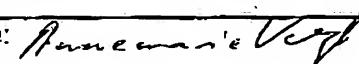
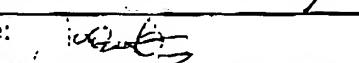
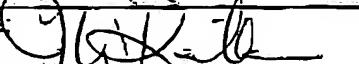
ASSIGNOR HEREBY GRANTS to the law firm of Heller Ehrman White & McAuliffe the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of Heller Ehrman White & McAuliffe do not personally represent ASSIGNOR or ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.

## NAMES AND SIGNATURES OF INVENTORS

Name:	Signature:	Date:
Andreas Plückthun		April 7, 2003
Katja Arndt		March 6, 03
Kristian Müller		6. 3. 2003
Joelle Pelletier		14/3/03

## NAMES AND SIGNATURES OF WITNESSES

Name:	Signature:	Date:
Annemarie Vogt		April 2, 2003
Jochen Hecky		March 6, 03
Jochen Hecky		March 6, 03
JEFFREY KEILLER		14/03/03